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Inventor(s): John H. LeBourgeois)	Art Unit:
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Title: DIGITAL CERTIFICATION TECHNIQUE)	
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APPLICATION TRANSMITTAL LETTER

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Transmitted herewith for filing is the patent application identified as follows:

Inventor(s): John H. LeBourgeois

Title: DIGITAL CERTIFICATION TECHNIQUE

No. of pages in Specification: 52; No. of Claims: 38.

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Also enclosed are:

- ☒ A Declaration.
- ☒ An Assignment and Recordation Form Cover Sheet.
- ☐ A certified copy of a priority application.
- ☒ A Power of Attorney.
- ☒ a Verified Statement claiming Small Entity Status - Small Business Concern.
- ☒ a Verified Statement claiming Small Entity Status - Independent Inventor.
- ☐ An Information Disclosure Statement under 37 C.F.R. §1.56.

The filing fee pursuant to 37 C.F.R. §1.16 is determined as follows:

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This application is filed pursuant to 37 C.F.R. §1.53 in the name of the above-identified Inventor(s).

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DIGITAL CERTIFICATION TECHNIQUE

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DIGITAL CERTIFICATION TECHNIQUE

Inventor: John H. Le Bourgeois

BACKGROUND OF THE INVENTION

1. Field of the Invention

The invention relates to digital certification techniques and, more particularly, to a technique for
5 certifying a user identity and computer system in combination.

2. Description of Related Art

Digital commerce on the Internet requires the
10 ability to digitally "sign" messages, providing a level of assurance that the purported sender of the message is in fact the true sender of the message. Commonly, a digital signature is created by encrypting a digest of the message with the sender's private key. In order
15 to verify authorship, the recipient of the message decrypts the digital signature using the public key of the purported sender to recover the original digest, and compares the result to the recipient's own digest of the message as received.

20 The reliability of the signature verification depends on the reliability of the recipient's copy of the sender's public key. Often the sender transmits such a copy of his or her public key along with the

original message, as a courtesy. Therefore, one possible way of subverting the digital signature technique is that an impostor might create a message purportedly from the original sender, and encrypt a digest of the message according to a different private key. The impostor would then send the message on to the recipient with the new encrypted digest and with the public key corresponding to the impostor's private key. Assuming the recipient relies on the public key received with the message in order to verify the authenticity of the message, then the recipient's verification that the message originated from the original sender will be false.

One known method for preventing this kind of subversion involves the use of digital certificates, for example as set forth in International Telecommunication Union, "Recommendation X.509 - Information Technology - Open Systems Interconnection - the Directory: Authentication Framework" (11/93) ("Recommendation X.509"), incorporated herein by reference. According to this standard, the sender transmits the original message and encrypted digest in conjunction with a digital certificate. To create the certificate, the sender passes the sender's public key through the message digesting algorithm to form a digest for the sender's public key, which is then

encrypted by a third party certifier using the
certifier's private key to form an encrypted digest of
the sender's public key. The certifier may be any
third party who is trusted by the recipient to not be
5 subject to subversion by the impostor. The sender then
transmits to the recipient the original desired
message, the encrypted digest for the original message,
and the certificate (including the sender's public key
and the encrypted digest of the sender's public key).
10 As with the non-certificated transmission, the sender
may include the certifier's public key as part of the
certificate.

In order to verify the authenticity of the
message, the recipient uses the sender's public key,
15 from the certificate, to verify the authenticity of the
message itself in the manner described above. The
recipient also uses the certifier's public key to
verify the authenticity of the encrypted digest in the
certificate of the sender's public key.

20 But a certification scheme is also subject to
subversion in the same manner as the non-certificated
scheme if the recipient still must rely on the validity
of the *certifier's* public key as provided in the
certificate to determine the authenticity of the
25 certificate itself. The X.509 scheme, therefore,
envisions a hierarchy of certifying authorities, each

certifying the public key of one or more other
certifying authorities, until a certification chain is
created from the original sender of the message up to
some universally trusted certifying authority (referred
5 to as the Root Authority (RA)).

The X.509 standard for signing messages suffers
from a number of drawbacks, not the least of which is
that no universally trusted RA currently exists. A
number of different entities aspire to that role, but
10 none is currently universally accepted. The necessary
hierarchy of certifying authorities is not currently in
place. Another deficiency involves the complexity of
the certification and verification process which
involve multiple layers of certifications. In addition,
15 even if the hierarchy of certifying authorities were in
place, and the RA were accepted as trustworthy, the
X.509 standard still may not reliably bind a digital
signature to an individual. Rather, binding is based
only on the preponderance of the evidence that at some
20 time in the past, the signer was in fact the individual
that he or she purported to be.

Another deficiency with the X.509 standard is
that, as proposed, every validation by a certifying
authority is likely to incur a fee. Another problem is
25 that the X.509 scheme depends on users abiding by
certain policies and constraints promulgated in the

various certifying hierarchies, such as expiration dates and certificate revocations. Moreover, the policies and constraints promulgated in different hierarchies can be different. A number of other
5 deficiencies also exist in the X.509 scheme.

Different kinds of transactions require different degrees of confidence in the validity of a digital signature. For example, whereas large dollar amount transactions, stock trading, weapons release, and so on
10 might require a high level of confidence, smaller transactions might not require such a high level of confidence. Very small cash transactions or non-transaction communications might not require very much confidence at all in the validity of the digital
15 signature. For communications and transactions not requiring the highest level of confidence in the digital signature, an alternative to the X.509 hierarchical model exists. This alternative, known as Pretty Good Privacy (PGP), proposes a diffuse network
20 model, where networks of people "sign" a given user's public key on a public key server. Public keys thereby gradually accumulate sufficient "mass" to vouch for the identity of the owner of the public key. The PGP scheme avoids some of the problems with the X.509
25 standard, but lacks any means for accountability. Thus, of the two primary conventional cryptographic

techniques for binding the sender of a message with an identity, one is unwieldy and requires an infrastructure that is not currently in place, and the other is not sufficiently binding or accountable to be
5 used in high-risk transactions.

Certain classes of transactions exist which do not require the binding of the sender of a message with an individual. For example, authorization transactions do not require that the individual requesting
10 authorization be identifiable by the authority of which authorization is being requested. The identity of the individual may be, for example, on file at a bank. What is important for these transactions is that the identity of the user be consistent, not that the
15 individual be known. For the use of an automated teller machine, for example, the user need only enter an account number and PIN (personal identification number). The identity of the individual is not transmitted for the authorization transaction; only a
20 representation, in the form of the user's PIN and the number recorded on the ATM card is transmitted. Authorization certifications usually have only a one-tier hierarchy, such as where a bank or credit card company previously issued the user an I.D. on the basis
25 of the user's account with the bank or credit card company. They usually do not rely on a chain of

certifying authorities to validate the user. One-tier authorization certification thereby avoids any need for a hierarchy infrastructure as in the X.509 standard. By foregoing the necessity of a binding between a user
5 and a known individual, these systems also avoid any need for a sufficient mass of signers on a public key server to vouch for the identity of the user, as in the PGP scheme.

In U.S. Patent Application SC/Serial No.
10 08/818,132, filed March 14, 1997, entitled "DIGITAL PRODUCT RIGHTS MANAGEMENT TECHNIQUE", by inventor John H. LeBourgeois, incorporated herein by reference in its entirety, an enhanced authorization mechanism is described which binds an authorization requestor to a
15 particular computer system, for example, rather than to a particular individual. Such a mechanism is useful, for example, for ensuring that digital products, such as software, music, images and so on, be authorized for use only on a single computer. Anonymity (privacy) of
20 the individual user can be maintained. As set forth in the above-incorporated patent application, a "reader system signature" is developed at the time the product is to be used on the reader system, based on identifying information of certain hardware or software
25 components then on the system. The reader system is able to make use of the digital product only if the

proper system signature exists. A certain amount of flexibility is built into the process, because if validation at the time of use fails, a revalidation process takes place whereby a license server
5 determines, in a sense, "how different" the reader system is currently as compared to its configuration at the time of the original authorization. If the reader system as it is currently configured satisfies certain predetermined "drift" criteria, then reauthorization is
10 automatic; otherwise reauthorization is made manually. Thus the technique described in the above-incorporated patent application permits flexible authorization-type certification with only a single level of hierarchy and while preserving the privacy of individual users.

15

SUMMARY OF THE INVENTION

The present invention permits the binding of a user identity (virtual or physical) with an authorization request. This binding is reliable enough
20 to be used in relatively high-risk transactions, and can be made reliable enough to be used in the highest-risk transactions. An embodiment of the invention optionally can make use of some of the system signature technology described in the above-incorporated patent
25 application.

According to the invention, roughly described, a first signature dependent upon a first user identity and a first user system in combination, is stored accessibly to a certification server. The first user
5 identity can be, for example, a PIN provided by the user. Subsequently, at a second time when the user desires authorization to complete a transaction, the user system generates a second signature dependent upon both the current user identity and the current user
10 system in combination. The certifying system then compares the second signature with the first, as stored, in order to determine whether to certify the transaction. The certification can accommodate normal computer system component drift, for example in the
15 manner described in the above-incorporated patent application.

It will be appreciated that such a method minimizes the risk of a stolen PIN, because the PIN is useless without the computer system hardware on which
20 the first user identity was originally established. The technique also minimizes the risk of subversion through the theft of the first user's computer hardware because, again, the transaction will not be authorized without the user's PIN.

25 In an aspect of the invention, the mechanism can also provide a level of confidence that the second

signature, provided to the certification server at the time that authorization is requested, truly was generated based on the user's system components as it existed at the time that the authorization is requested, rather than being merely a copy of a signature stored previously. In an embodiment, after the user issues an authorization request to a merchant system, for example, the merchant system issues a challenge code back to the user system. The user system then digests the user's PIN, individual component signatures as they currently exist on the user's system, together with the challenge code to generate the new signature. The new signature is transmitted back to the merchant server, which transmits it on to the certification server together with the challenge code. The certification server then digests the challenge code with the original first signature as previously stored, and compares the result to the newly provided signature. If they match, then the transaction is authorized. If not, then drift criteria can be applied if desired.

The mechanism according to the invention has a number of advantages over other authorization certification techniques. For example, the certification by nature is limited in time, since ordinary hardware drift or new computer hardware would

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hardware certification, with much more confidence and less risk than currently exists in the conventional proposed systems.

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BRIEF DESCRIPTION OF THE DRAWINGS

The invention will be described with respect to particular embodiments thereof, and reference will be made to the drawings, in which:

Fig. 1 is an overall symbolic diagram of an
10 arrangement according to the invention.

Fig. 2 is a symbolic block diagram illustrating the structure of a typical computer system which may be used as a user system, an inquirer system or a certification server.

15 Figs. 3A and 3B in combination are a flow chart illustrating the overall system flow for the embodiment of Fig. 1.

Fig. 4 is a flow chart detail of step 314 in Fig. 3A.

20 Fig. 5 is a flow chart detail of step 330 in Fig. 3B.

Fig. 6 is a detail of step 336 in Fig. 3B.

Fig. 7 is a detail of the decision step 338 in Fig. 3B.

25 Figs. 8 and 9 are alternative details of step 724 in Fig. 7.

Fig. 10 is a detail of step 1000 in Figs. 7, 8 and 9.

DETAILED DESCRIPTION

5 Fig. 1 is an overall symbolic diagram of an arrangement according to the invention. The arrangement has three primary components: a user system 102, a financial clearinghouse system 104 and a system referred to herein as an inquirer system 106. The financial clearinghouse system 104 can be any certification server trusted by the inquirer 106, such as a bank, a credit card company, or a third party certifying authority. The inquirer system 106 can be any entity that wishes to verify with the financial clearinghouse 104 the identity of a user. In the embodiment described herein, the inquirer 106 might be, for example, an on-line merchant server system. In conformity with this paradigm, the user 102 might be a person interested in purchasing goods or services from the merchant 106. In addition to the above, the financial clearinghouse 104 maintains a signature database 108, containing digital signatures of the various accounts held by users of the financial clearinghouse 104.

25 In general operation, a user opens up an account with the financial clearinghouse 104, and provides a

digital signature to the clearinghouse 104 for storage on the signature database 108. As described in more detail hereinafter, the digital signature depends upon both the user and the user's system 102. At a
5 subsequent time, when the user wishes to purchase merchandise from the merchant 106, the user system 102 regenerates the signature in real time, including both the portions which depend upon the user and the portions which depend upon the user's system. The
10 newly generated signature is provided to the financial clearinghouse, which processes it in relation to the digital signature originally stored on the signature database 108 to determine whether the real time-generated signature is valid.

15 In Fig. 1, the user system 102, the certification server 104 and the inquirer system 106 are each illustrated as a respective individual block. Depending on the embodiment, each block might contain no more than a single computer, or in different
20 embodiments, different blocks can contain more than one computer. In one embodiment, one or more of the blocks 102, 104 and 106, for example the certification server 104, contains a number of computers spread out over a great geographical area and interconnected by a
25 network. The illustration of the user system 102, the certification server 104, and the inquirer system 106

as single blocks is not intended to indicate that each must constitute only a single computer system or that each must be located at a respective single location.

Nor is there any requirement that computers used
5 to form the user system 102, the certification server 104, and the inquirer system 106 have any particular structure. Fig. 2 is a symbolic block diagram illustrating the structure of a typical computer system which may be used as a user system, an inquirer system
10 or a certification server. It comprises a CPU 202 and cache memory 204, both connected to a CPU bus 206. Interface circuitry 208 is also connected to the CPU bus 206. The interface circuitry 208 is further connected to a main memory 210, as well as to two I/O
15 buses: PCI-bus 212 and ISA-bus 214. Connected to the PCI-bus 212 are sound and game controllers 216, a network adapter 232 and a display adapter 218, the last of which is further connected to a monitor 220. Connected to the ISA-bus 214 is a hard disk drive
20 controller 222, a CD-ROM drive controller 224, a floppy disk drive controller 226, various I/O ports 228, and a boot PROM 230. Most of the peripheral components illustrated in Fig. 2 include on-board configuration data which can be read by the CPU 202. In addition,
25 the boot PROM 230 includes a portion which is writeable by the CPU 202 to store configuration data. In

general, the software to operate the user system 102, the certification server 104 or the inquirer system 106 is stored on the disk drive controlled by the disk drive controller 222, and brought into main memory 210 as needed for execution. The computer system of Fig. 2 communicates with the other systems of Fig. 1 via the network adapter 232.

Figs. 3A and 3B in combination are a flow chart illustrating the overall system flow for the embodiment of Fig. 1. The flow chart of Fig. 3A continues in Fig. 3B, as indicated by the circled symbol "B" in both figures.

Referring to Fig. 3A, in a step 310, prior to any purchasing transaction, the user presents his or her identification to the financial clearinghouse or other financial institution which stands behind the certification server 104. Depending on the level of confidence that the financial institution requires in the physical identity of the user, the required identification might be as strict as a biometric measurement, such as fingerprints or a retinal scan, or it may be somewhat less stringent, such as by requiring notarization, a photo I.D., or other mechanism involving some physical presence. In a situation where the financial institution does not need to know the physical identity at all, for example where the

financial institution is merely going to be maintaining a debit account and is taking no risk of its own, step 310 can be omitted. For a debit account, the financial institution is concerned only that the user identity be
5 consistent in future transactions, not that the user identity actually be known; it is not necessary to bind the user identity with a physical identity.

In a step 312, the financial institution establishes an account for the user. This may involve
10 depositing some money into a debit account, or it may involve merely creating a record of the user in a database.

In step 314, the user, at the user system 102, creates an original signature for a first user identity
15 in a manner described in more detail hereinafter. The digital signature created in step 314 depends upon both the user system 102 as well as the user's first identity (the user can have more than one virtual identity, if desired).

20 In a step 316, the user system 102 transmits the original digital signature to the certification server 104 which, in step 318, stores the original digital signature in the signature database 108 in conjunction with the user account.

25 Some time later, in a step 320, the user browses an on-line catalog, for example, maintained by the

merchant system 106, and selects items for purchase. In step 322, the user system 102 transmits the user's payment information to the merchant system 106. Such payment information might include credit card
5 information, or a reference to a debit account previously established at the financial clearinghouse 104. Before authorizing the transaction, the merchant system 106 will first desire certification that the user is in fact the owner of the credit card or debit
10 account.

Accordingly, in a step 324, the merchant system 106 generates a challenge code and transmits it to the user system 102. The challenge code serves as an inquiry to the user system 102 to provide information
15 so that the merchant can verify the identity of the user. The challenge code preferably is generated randomly, but complete randomness is not actually required. The challenge code is also preferably generated just prior to transmission to the user system
20 102, but in other embodiments, it may have been generated earlier. It will be seen from the further description below that the issuance of a challenge code helps to ensure that the real time digital signature that will next be generated by the user system 102,
25 truly was generated in real time, and is not merely a surreptitious copy of a digital signature previously

stored on the user system 102. Different embodiments of the arrangement of Fig. 1 might require different levels of confidence in the currency of the real time-generated digital signature, and therefore might permit
5 different freedoms in the randomness of the merchant's challenge code or in the currency of generation of the merchant's challenge code.

In a step 326, after the user system 102 receives the challenge code from the merchant system 106, the
10 user system requests a user identity code (e.g., a PIN) from the user. In step 328, the user enters the PIN for his or her first user identity.

In step 330 (Fig. 3B), the user system 102 generates a real time digital signature, in dependence
15 upon the challenge code, the PIN entered with the first user identity, and certain data regarding certain listed components as presently existing in the user system 102. The generation of the real time digital signature in step 330 is described in more detail
20 below.

In step 332, the user system 102 transmits the real time digital signature to the merchant system, which in step 334 further transmits it on to the certification server 104 together with the challenge
25 code and the user's payment information previously supplied. In step 336, the certification server 104

combines the challenge code with the original signature for the first user identity, as stored in the signature database 108, and determines, in step 338, whether the result matches the real time digital signature provided
5 by the user system 102 via the merchant system 106. If the two results match, then the certification result is positive (step 340). If they differ, then the certification result is negative (step 342).

In step 344, the certification server 104
10 transmits the certification result back to the merchant system 106 which, in step 346, either allows or declines the purchases desired by the user.

Note that any or all of the communications called for in Fig. 1 can be encrypted, digitally signed and/or
15 certified if desired in a given embodiment, although to some extent these precautions might mitigate the advantages obtained by the invention over prior certification mechanisms. By avoiding these precautions, certain requirements of current U.S.
20 export laws can be avoided as well.

As mentioned above, the original digital signature generated by the user system 102 depends upon both the user system 102 itself, as well as a user identity. The user identity may be indicated by, for
25 example, a code or PIN entered by the user via the keyboard. Alternatively, it might be more secure, for

example, by a fingerprint or a retinal scan taken by the user system 102 of the user.

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The portion of the original digital signature which identifies the user system 102 itself, referred to herein as a user system signature (USS), can be generated in a number of different ways in different embodiments. One embodiment takes advantage of serial numbers or other identifying data which may be present in the user system, and which carry external assurances of substantial uniqueness. That is, many computers when manufactured are assigned a serial number or other indicator which the manufacturer of the computer, or some other authority, guarantees to be unique. For example, Apple MacIntosh computers, when manufactured, are assigned an Ethernet address which is unique to that specific computer. Alternatively, the identifier can be assigned in software, such as in the operating system of the computer. It is not essential that whatever authority assigns the serial number guarantee uniqueness; depending on the level of confidence required by the merchant or the financial clearinghouse, it may be sufficient only that it be extremely unlikely that two computer systems which can act as user systems 102 carry the same identifier. This is the case where, for example, the number carries

external assurances of substantial uniqueness, such as in the case of Ethernet addresses.

In another embodiment, the user system signature does not rely on a component having an identifier that carries external assurances of substantial uniqueness. Instead, a plurality of components (hardware or software) are examined to determine individual component signatures. The individual component signatures are then combined to form the overall user system signature, or all of the individual component data is digested together in a single pass. In one embodiment, the individual component signatures are all concatenated together in a predetermined sequence to form the overall user system signature. The individual component signatures may be digested prior to concatenation in order to limit their size to the predefined field size. In another embodiment, optionally after digesting, the individual component signatures are averaged or summed together to form the overall user system signature. The individual component signatures can be weighted prior to combination, in order to reduce the impact on the user system signature that would result from changes in components that are more frequently subject to upgrade or replacement.

In one embodiment, the user system 102 generates the user system signature in dependence upon component signatures from the following components, to the extent present in the system. Except as indicated below, most of the component signatures set forth in this list are readable either from the CMOS or from a configuration manager driver. For PCI or EISA systems, the data can be read from the PCI or EISA board BIOS. The following is only an illustrative list; other embodiments can refer to other components not on this list. In addition, different embodiments may or may not include components which are readily removable by the user.

Hard Disk Drive

- 15 • drive I.D.
- numbers of cylinders, sectors and heads
- drive defective sector map (obtained from sector 0)
- drive name
- 20 • drive manufacturer
- volume name

Floppy Disk Controller

- I/O addresses and settings
- 25 • interrupt assignments
- manufacturer name

Monitor

- monitor name
- monitor type

5 Display Adaptor

- device name
- on-board memory

Mother Board

- 10
- CPU type
 - CPU speed
 - total memory present
 - total cache present
 - cache timings (measured empirically)

15

Ports

- I/O addresses and settings
- interrupt assignments

20 Sound, Video and Game Controllers

- device name
- driver name
- driver version

25 System Devices

- CMOS profile

The kinds of identifying data that might be used to generate the individual component signatures can include the manufacturer name, revision number, versionnumber, date, release number, and so on.

5 In yet another embodiment, a combination of individual component signatures also includes one or more component signatures that carry external assurances of substantial uniqueness, to the extent such a component exists in the machine.

10 Fig. 4 is a flow chart detail of step 314 in Fig. 3A, within which the user system creates the original digital signature for the first user identity. In a step 410, the user enters his or her PIN for the first user identity. As mentioned, other forms of
15 identification might be used in different embodiments. In step 412, the user system 102 determines whether it has a component which bears an I.D. that carries external assurances of substantial uniqueness. If so, then in step 414, the USS is set equal to that
20 component I.D. In step 416, if the user system 102 does not have a component bearing an I.D. that carries external assurances of substantial uniqueness, or if the embodiment does not utilize such component I.D.s, the user system 102 obtains data regarding each of the
25 listed components as they then exist in the user system 102. In a step 418, the user system 102 digests the

different data items and, in step 420, combines the digested data items to form the USS. Any suitable digesting algorithm can be used for the purpose of the digesting step 418 including, for example, an error-correcting code (ECC) generator or the well-known SHA-1 algorithm. The SHA-1 digesting algorithm is described National Institute of Standards and Technology (NIST), FIPS Publication 180: Secure Hash Standard (SHS) (May 1993), as amended by National Institute of Standards and Technology (NIST) Announcement of Weakness in the Secure Hash Standard (May 1994), both incorporated herein by reference. Note that in a different embodiment, the data from the individual components can be combined (e.g., summed, averaged, concatenated together, etc.) without digesting, and only the combined version is digested.

In step 422, the user system 102 combines the USS either from step 420 or from step 414, with the first user identity PIN as entered in step 410, and digests the results again. Again, "combining" can include adding or concatenating the PIN with the USS, or even XOR-ing the PIN with the USS. Note that in a different embodiment, the PIN can be combined with the individual data items earlier in the process of Fig. 4, resulting in only a single digesting step.

Fig. 5 is a flow chart detail of step 330 (Fig. 3B), in which the user system generates the real time signature in dependence upon the challenge code, the PIN for the first user identity, and data regarding 5 listed components as presently existing in the user system 102. The term "real time", as used herein, does not require absolute currency. The term should be interpreted loosely enough to include digital signatures generated recently, but certainly more 10 recently than the time that the original digital signature was generated. For example, instead of the USS/PIN combination being calculated only in response to an inquiry from an inquiring system, an embodiment might request the user's PIN and generate the "real 15 time" USS/PIN combination on system boot. Another embodiment might request the user's PIN and generate the "real time" USS/PIN combination at the beginning of the user's online session, for example when the user's browser software begins executing. Another embodiment 20 might request the user's PIN and generate the "real time" USS/PIN combination only in response to an inquiry, but might then cache it for some period of time thereafter.

Referring to Fig. 5, in step 510, the user system 25 102 determines whether it has a component bearing an I.D. that carries external assurances of substantial

uniqueness. If so, then a real time USS is set equal to such component I.D. If not, or if the embodiment does not utilize components bearing an I.D. that carries external assurances of substantial uniqueness, then in step 514, the user system 102 obtains, in real time, data regarding the listed components as presently existing in the user system 102. In step 516, as in step 418 in the flow chart of Fig. 4, the data items are digested and, in step 518, a real time USS is generated by combining the digested data items. The real time USS is then further digested in step 520 with the PIN entered in step 328 (Fig. 3A) for the first user identity. As with the flow chart of Fig. 4, the combining and digesting steps can be performed with various algorithms in different embodiments. However, the algorithms chosen should be such that the signature, as it exists prior to step 522, should be the same as the original digital signature generated in the procedure of Fig. 4, given identical PINs and identical user system components.

In step 522, the result of step 520 is further combined with the challenge code and digested to produce the real time digital signature that will subsequently be provided to the merchant system 106 in step 332 (Fig. 3B).

It can be seen that the real time digital signature must, in fact, be generated in real time (as that term is used herein) if it is to incorporate the challenge code provided by the merchant system 106.

5 The reliability of the real time signature in assuring that the user system 102 on which it is generated is in fact the same as the user system 102 on which the original digital signature was generated, can be compromised if the user system 102 stores the USS
10 locally in a form that can be pilfered. This risk is minimized, as previously mentioned, by further requiring the user to enter his or her PIN and digesting it together with the USS. The user can still compromise the reliability of the real time digital
15 signature by storing his or her PIN locally on the user system 102, or by storing the original digital signature itself locally on the user system 102, but this is not an advisable procedure. The risk to the merchant 106 or the financial clearinghouse 104 of such
20 a procedure can be minimized, for example by contractually requiring the user to maintain better security procedures, or by contractually assigning liability to the user for any increased risk resulting from inadequate PIN security.

25 Fig. 6 is a detail of step 336 (Fig. 3B), in which the certification server 104 combines the

challenge code with the original signature for the first user identity, as stored in the signature database 108. In step 610, in response to receipt of the information from the merchant system 106, the certification server retrieves the original signature for the first user identity from the signature database 108. In step 612, the certification server combines the original signature with the challenge code provided by the merchant system 106 and digests them together in the same manner as performed in step 522 (Fig. 5).

As previously discussed, in step 338 (Fig. 3B), if the original digital signature as combined (by the certification server 104) with the challenge code provided by the merchant system 106, does not match the real time signature provided by the user system 102, then the certification server has determined either that the user system 102 on which the real time signature was generated is not identical to the user system 102 on which the original digital signature was generated, or that the user identity code entered by the user for the current transaction does not match the user identity code entered by the user at the time of original account establishment. Either conclusion increases the likelihood that the current user is an impostor. According to an aspect of the invention, however, some flexibility can be applied to the

determination of whether the user system 102 is the same system on which the original digital signature was generated, allowing for a certain amount component upgrade drift. Fig. 7 is a detail of the decision step 5 338 in Fig. 3B, which accommodates such flexibility.

In one such embodiment, the algorithms used to generate the original and real time signatures involve combining undigested individual system component data prior to digesting. At the time of account 10 establishment, in addition to providing the original signature to the certification server 104, the user system 102 also digests individually the component data that was used to generate the original signature, and provides these individual component digests, together 15 with the user's PIN, to the certification server 104 for storage on the signature database 108 in conjunction with the original digital signature. The individual component signatures actually can be digested prior to combining in the generation of the 20 original signature, but in order to minimize the risk from unauthorized access to the signature database 108, the digesting algorithm used to provide the individual component digests to be stored on the signature database 108 should be such that they cannot be used to 25 recreate the original USS.

Referring to Fig. 7, in step 710, the certification server 104 determines whether the original signature and challenge code combination is exactly equal to the real time signature provided through the merchant server 106. If so, then the certification result is positive (step 712). If not, then in step 714, the certification server determines whether the USS was based on a component having external assurances of substantial uniqueness. If so, then no drift is permitted in such a component and the certification result is negative (step 716).

In step 718, if the original signature and challenge code combination is not exactly equal to the real time signature, and individual user system component signatures were used to generate a USS, then in step 718, the certification server 104 requests the individual user system component signatures as they presently exist, from the user system 102 via the merchant 106. In step 720, the user system 102 provides such information via the merchant 106 in the same individually digested form with which they were originally provided and stored on the signature database 108. In step 722, the certification server 104 compares the individually digested real time user system component signatures, newly received, to the

individually digested user system component signatures previously stored in the signature database.

In step 724, the certification server 104 determines whether the difference exceeds some
5 predetermined threshold specified, for example, as a number of component signatures which are permitted to have changed. If the differences do not exceed the designated threshold, then automatic reauthorization is performed (step 1000). If the differences does exceed
10 the predetermined threshold, then the certification result is negative (step 728).

Fig. 8 is a detail of step 724 (Fig. 7) in which the certification server 104 determines whether the difference between the two sets of individual component
15 signatures exceeds the predetermined threshold. The flow chart set forth in Fig. 8 represents one embodiment in which the threshold is specified as a percentage. In a step 810, the certification server 104 calculates the weighted sum of the real time user
20 system component signatures. In step 812, the certification server calculates the weighted sum of user system component signatures as previously stored in signature database 108. In step 814, the certification server 104 determines whether the
25 difference between the two calculated values exceeds the predetermined percentage threshold. If not, then

automatic reauthorization is permitted (step 1000). If so, then the certification result is negative (step 818).

Fig. 9 is a detail of step 724 (Fig. 7) as performed in a second embodiment, in which the maximum upgrade drift flexibility is specified as a maximum number of components whose individual component signatures are permitted to have changed. In a step 910, the certification server counts the number of real time provided component signatures which differ from the corresponding component signatures as previously stored. In step 912, the certification server determines whether the count exceeds the predetermined threshold. If not, then automatic reauthorization is permitted (step 1000). If so, then the certification result is negative (step 916).

Fig. 10 is a flow chart detail of step 1000 (Figs. 7, 8 and 9). In step 1010, the certification server 104 checks its log to determine whether the user's user identity has received more than a predetermined number of automatic reauthorizations. If so, then the certification result is negative (step 1012) and reauthorization must take place manually. If not, then in step 1014, the certification server digests the newly received predigested component signatures with the user's PIN already on file in the

signature database 108. In response to a request by the certification server 104, the user system also digests its newly digested component signatures with the user's PIN, and transmits the result back to the
5 certification server 104 (step 1016). In step 1018, the certification server 104 determines whether the two values are equal. If not, then in step 1020, the certification result is negative and automatic reauthorization is aborted.

10 If the two numbers are equal, then automatic reauthorization was successful. In order to update the signature database 108, the channel between the user system 102 and a certification server 104 optionally now begins using a secure socket layer (SSL) (step
15 1022). In step 1024, the user system 102 creates a new original digital signature, using the undigested individual component signatures and the user's PIN, and transmits the result to the certification server 104. In step 1026, the certification server 104 stores the
20 new individually digested component signatures, as well as the new original signature received from step 1024, in conjunction with the user account. In step 1028, the certification server 104 increments the reauthorization count in its log, and in step 1030, the
25 communication channel between user system 102 and certification server 104 exits the SSL protocol. Now

that reauthorization has taken place, in step 1032, the certification server notifies the merchant system 106 to retry the transaction. Control then returns to step 324 (Fig. 3A) for the issuance of a new challenge code
5 to the user system 102.

As used herein, steps which take place "in response to" a predecessor event, do so if the predecessor event influenced the performance of such steps. If there is an intervening time period, the
10 performance of the steps can still be considered "responsive" to the predecessor event. If the performance of the steps depends on more than one predecessor event, then the steps are considered performed in response to each of the predecessor
15 events.

The foregoing description of preferred embodiments of the present invention has been provided for the purposes of illustration and description. It is not intended to be exhaustive or to limit the
20 invention to the precise forms disclosed. Obviously, many modifications and variations will be apparent to practitioners skilled in this art. For example, whereas the flowcharts described herein illustrate steps being performed in a particular sequence, it will be
25 appreciated that in many instances the sequence of the steps can be reversed, or the steps can be performed in

a pipelined, overlapping manner, or both, without departing from the scope of the invention. The embodiments herein were chosen and described in order to best explain the principles of the invention and its
5 practical application, thereby enabling others skilled in the art to understand the invention for various embodiments and with various modifications as are suited to the particular use contemplated. It is intended that the scope of the invention be defined by
10 the following claims and their equivalents.

3 step of obtaining said first user identity code in
4 response to user input.

1 4. A method according to claim 2, wherein said
2 step of storing further comprises the step of storing
3 said first signature accessibly to a certification
4 server,

5 and wherein said step of certifying comprises the
6 step of said certification server developing a
7 certification result in dependence upon said first and
8 second signatures.

1 5. A method according to claim 1, wherein said
2 second user system is said first user system.

1 6. A method according to claim 1, wherein said
2 step of certifying comprises the step of certifying, in
3 dependence upon said first and second signatures,
4 whether the combination of said second user identity
5 and said second user system match the combination of
6 said first user identity and said first user system,
7 and further that said second signature was generated at
8 a time different from said first time.

1 7. A method according to claim 6, wherein said
2 step of generating is performed in response to a

3 challenge, wherein said second signature is further
4 dependent upon said challenge, and wherein said step of
5 certifying comprises the step of developing a
6 certification result in dependence upon said first and
7 second signatures and further in dependence upon said
8 challenge.

1 8. A method according to claim 1, further
2 comprising the step of providing a challenge code,
3 wherein said second signature is further
4 dependent upon said challenge code.

1 9. A method according to claim 8, wherein said
2 step of certifying comprises the step of developing a
3 certification result in dependence upon said first and
4 second signatures and further in dependence upon said
5 challenge code.

1 10. A method according to claim 9, wherein said
2 step of storing a first signature comprises the step of
3 storing said first signature accessibly to a
4 certification server,
5 wherein said step of providing a challenge code
6 comprises the step of an inquiring system providing
7 said challenge code to both said second user system and
8 said certification server,

9 wherein said step of generating a second
10 signature comprises the step of said second user system
11 generating said second signature, said second signature
12 being provided to said certification server,
13 and wherein said step of developing a
14 certification result is performed by said certification
15 server.

1 11. A method according to claim 10, wherein said
2 step of certifying further comprises the step of
3 providing said certification result to said inquiring
4 system.

1 12. A method according to claim 1, wherein said
2 step of storing a first signature comprises the step of
3 storing said first signature accessibly to a
4 certification server, and wherein said first user
5 system comprises a first group of components,
6 comprising the steps of:

7 developing a first component signature of each
8 respective component in said first group as present in
9 said first user system at said first time; and
10 storing said first component signatures
11 accessibly to said certification server.

1 13. A method according to claim 12, wherein said
2 second user system comprises a second group of
3 components, wherein said first signature is different
4 from said first component signatures, wherein said step
5 of certifying comprises the step of said certification
6 server determining, in dependence upon said first and
7 second signatures, that the combination of said second
8 user identity and said second user system does not
9 match the combination of said first user identity and
10 said first user system, further comprising the steps
11 of:

12 developing a second component signature of each
13 respective component in said second group as present in
14 said second user system at said second time; and
15 said certification server comparing said second
16 component signatures with said first component
17 signatures to determine whether said first and second
18 user systems satisfy predetermined drift criteria.

1 14. A method according to claim 13, wherein said
2 step of comparing comprises the step of determining
3 whether a count of the number of said second component
4 signatures which differ from corresponding first
5 component signatures exceeds a predetermined maximum
6 drift number greater than zero.

1 15. A method according to claim 13, wherein said
2 step of certifying further comprises the step of
3 determining whether said second user identity code is
4 equal to said first user identity code.

1 16. A digital certification method, comprising
2 the steps of:

3 storing, accessibly to a certification server, a
4 first signature of a first user identity on a first
5 user system in dependence upon a first user identity
6 code and in dependence further upon a first group of at
7 least one component as present in said first user
8 system at a first time;

9 at a second time subsequent to said first time,
10 an inquiring system providing a challenge code to a
11 second user system and said second user system
12 developing a second signature in dependence upon a
13 second user identity code and in dependence further
14 upon a second group of at least one component as
15 present in said second user system at said second time;

16 providing said challenge code and said second
17 signature to said certification server; and

18 said certification server developing a
19 certification result in dependence upon said second
20 signature and a combination of said challenge code and
21 said first signature.

1 17. A method according to claim 16, further
2 comprising the step of communicating said certification
3 result to said inquiring system.

1 18. A digital certification method, comprising
2 the steps of:

3 forming, at a first time, a first signature
4 dependent upon a first user identity and a first user
5 system in combination;

6 providing said first signature to a certification
7 server;

8 generating, in response to an inquiry from an
9 inquiring system at a second time subsequent to said
10 first time, a second signature dependent upon a second
11 user identity and a second user system in combination;
12 and

13 providing said second signature for comparison
14 with said first signature.

1 19. A method according to claim 18, wherein said
2 step of forming a first signature comprises the step of
3 developing said first signature in dependence upon a
4 first user identity code and in dependence further upon
5 a first group of at least one component as present in
6 said first user system at said first time.

1 20. A method according to claim 19, wherein said
2 step of developing said first signature comprises the
3 step of obtaining said first user identity code in
4 response to user input.

1 21. A method according to claim 18, wherein said
2 second user system is said first user system.

1 22. A method according to claim 18, wherein said
2 second signature is further dependent upon said
3 inquiry.

1 23. A method according to claim 18, wherein said
2 second user system receives a challenge code in
3 conjunction with said inquiry,
4 and wherein said second signature is further
5 dependent upon said challenge code.

1 24. A method according to claim 18, wherein said
2 first user system comprises a first group of
3 components,
4 comprising the steps of:
5 developing a first component signature of each
6 respective component in said first group as present in
7 said first user system at said first time; and

8 providing said first component signatures to said
9 certification server.

1 25. A method according to claim 24, wherein said
2 second user system comprises a second group of
3 components, wherein said first signature is different
4 from said first component signatures, and wherein the
5 combination of said second user identity and said
6 second user system does not match the combination of
7 said first user identity and said first user system,
8 further comprising the steps of:

9 developing a second component signature of each
10 respective component in said second group as present in
11 said second user system at said second time; and
12 providing said second component signatures for
13 comparison with said first component signatures.

1 26. A digital certification method, comprising
2 the steps of:

3 providing a challenge code to a user system in
4 response to a request for authorization for said user
5 system;

6 receiving a real time signature from said user
7 system after said step of providing a challenge code;

8 providing said challenge code and said real time
9 signature to a certification server; and

10 receiving a certification result from said
11 certification server after said step of providing said
12 challenge code and said real time signature to said
13 certification server.

1 27. A method according to claim 26, wherein said
2 real time signature is dependent upon a first user
3 identity and said user system in combination.

1 28. A method according to claim 27, wherein said
2 real time signature is further dependent upon said
3 challenge code.

1 29. A digital certification method, comprising
2 the steps of:

3 storing accessibly to a certification server, at
4 a first time, a first signature dependent upon a first
5 user identity and a first user system in combination;
6 receiving, at a second time subsequent to said
7 first time, a second signature dependent upon a second
8 user identity and a second user system in combination;
9 and

10 certifying, in dependence upon said first and
11 second signatures, whether the combination of said
12 second user identity and said second user system match

13 the combination of said first user identity and said
14 first user system.

1 30. A method according to claim 29, wherein said
2 second user system is said first user system.

1 31. A method according to claim 29, wherein said
2 step of certifying comprises the step of certifying, in
3 dependence upon said first and second signatures,
4 whether the combination of said second user identity
5 and said second user system match the combination of
6 said first user identity and said first user system,
7 and that said second signature was generated at a time
8 different from said first time.

1 32. A method according to claim 29, further
2 comprising the step of receiving, in conjunction with
3 said step of receiving a second signature, a copy of a
4 challenge code,

5 wherein said second signature is further
6 dependent upon said challenge code.

1 33. A method according to claim 32, wherein said
2 step of certifying comprises the step of developing a
3 certification result in dependence upon said first and

4 second signatures and further in dependence upon said
5 challenge code.

1 34. A method according to claim 29, wherein said
2 step of certifying further comprises the step of
3 providing a certification result to an inquiring
4 system.

1 35. A method according to claim 29, wherein said
2 first user system comprises a first group of
3 components, comprising the steps of:

4 receiving a first component signature of each
5 respective component in said first group as present in
6 said first user system at said first time; and

7 storing said first component signatures
8 accessibly to said certification server.

1 36. A method according to claim 35, wherein said
2 second user system comprises a second group of
3 components, wherein said first signature is different
4 from said first component signatures, wherein said step
5 of certifying comprises the step of said certification
6 server determining, in dependence upon said first and
7 second signatures, that the combination of said second
8 user identity and said second user system does not
9 match the combination of said first user identity and

10 said first user system, further comprising the steps
11 of:

12 receiving a second component signature of each
13 respective component in said second group as present in
14 said second user system at said second time; and

15 said certification server comparing said second
16 component signatures with said first component
17 signatures to determine whether said first and second
18 user systems satisfy predetermined drift criteria.

1 37. A method according to claim 36, wherein said
2 step of comparing comprises the step of determining
3 whether a count of the number of said second component
4 signatures which differ from corresponding first
5 component signatures exceeds a predetermined maximum
6 drift number greater than zero.

1 38. A method according to claim 36, wherein said
2 step of certifying further comprises the step of
3 determining whether said second user identity code is
4 equal to said first user identity code.

ABSTRACT

Digital certification method in which a first digital signature dependent upon a first user identity and a first user system in combination, is stored accessibly to a certification server. The first user identity can be distinguished by, for example, a PIN provided by the user. Subsequently, at a second time when the user desires authorization to complete a transaction, the user system generates a second signature dependent upon both the current user identity and the current user system in combination. The certifying system then compares the second signature with the first, as stored, in order to determine whether to certify the transaction. The certification can accommodate normal computer system component drift. In an embodiment, an inquiring system desiring to confirm the identity of a user, issues a challenge code to the user system. The user system then digests the user's PIN, individual component signatures as they currently exist on the user's system, together with the challenge code to generate the new signature. The new signature is transmitted back to the inquiring system, which transmits it on to the certification server together with the challenge code. The certification server then digests the challenge code with the original signature as previously stored, and compares

the result to the newly provided signature. If they match, then the user's identity is confirmed. If not, then drift criteria can be applied if desired.

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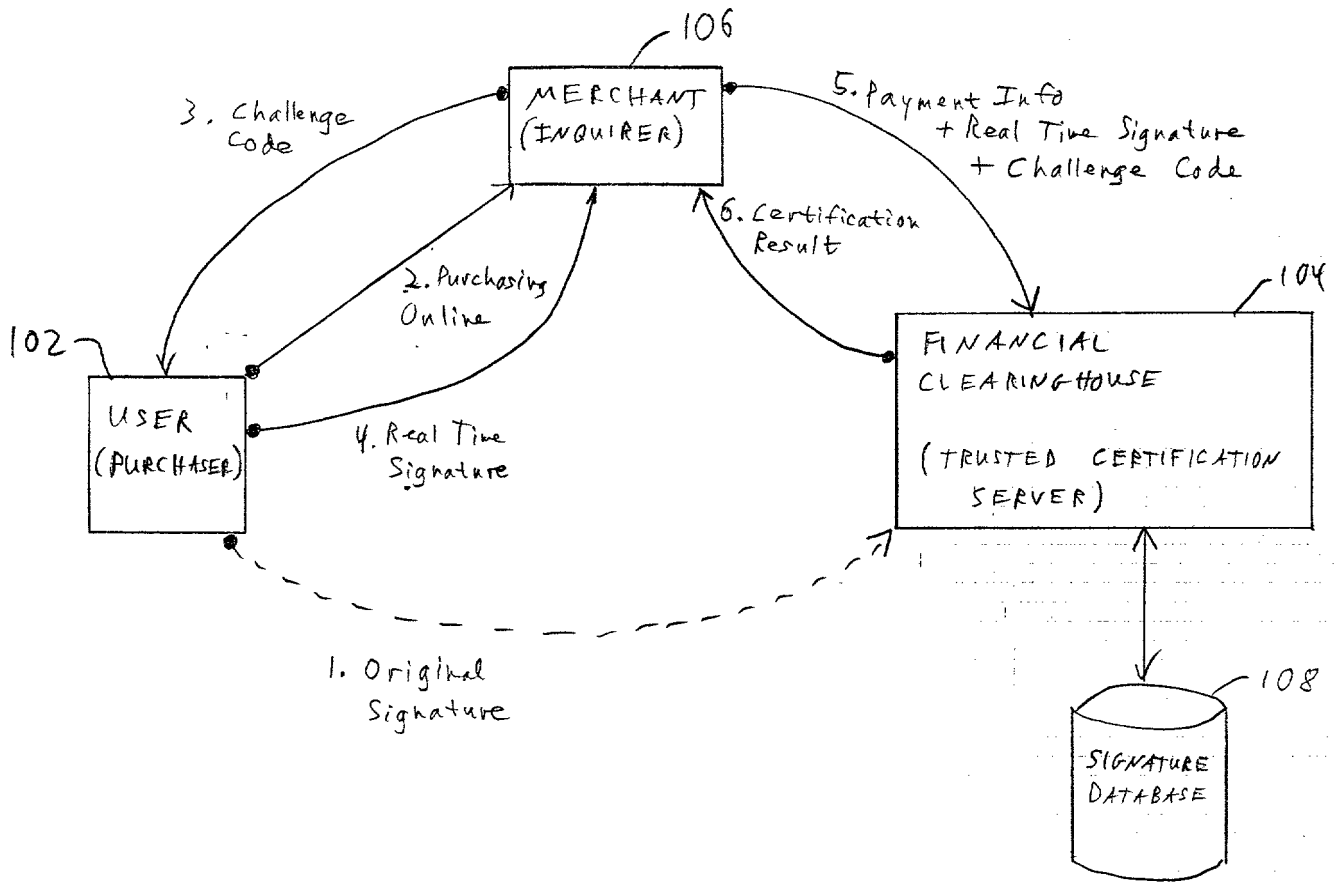


Fig. 1

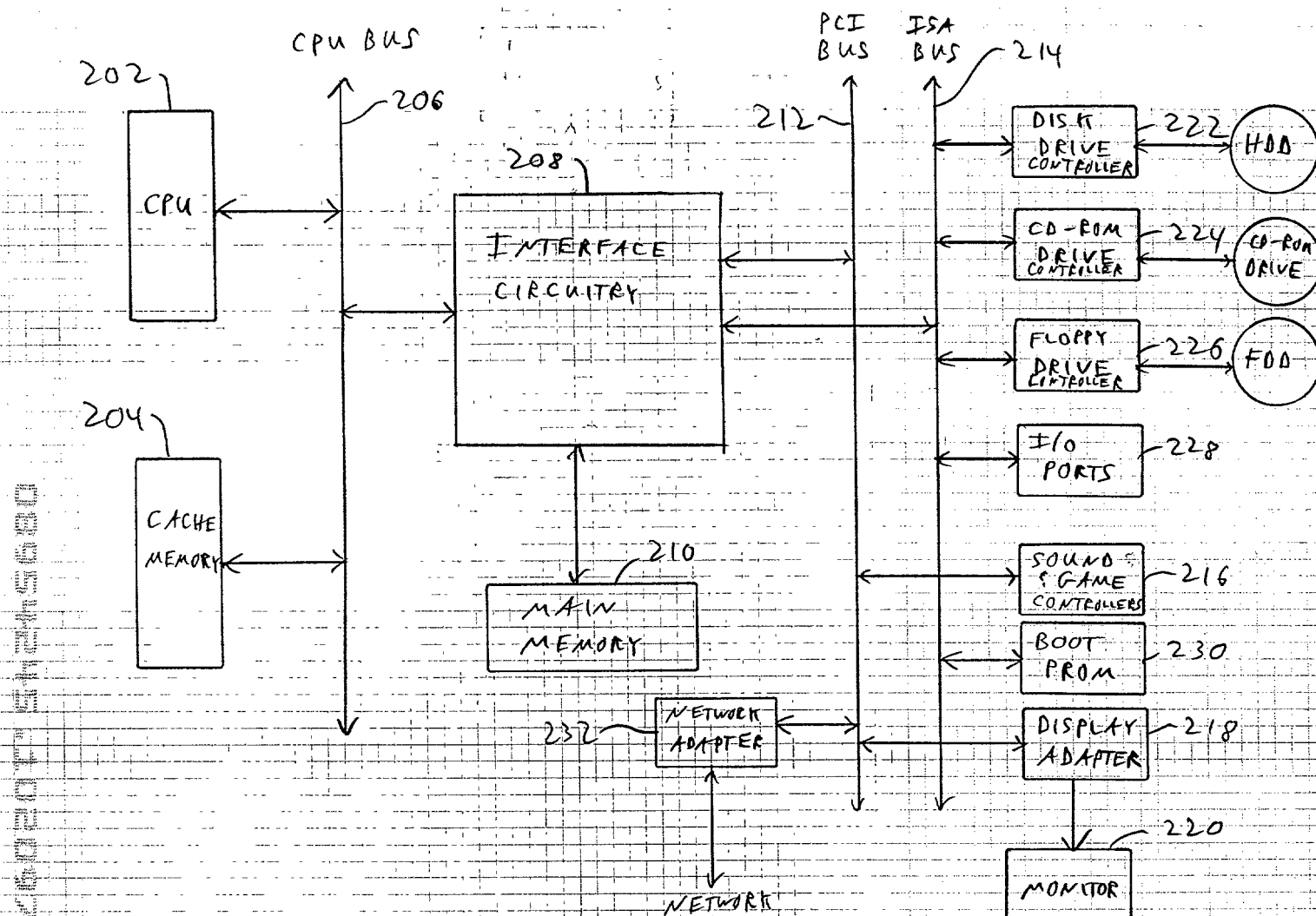


Fig. 2

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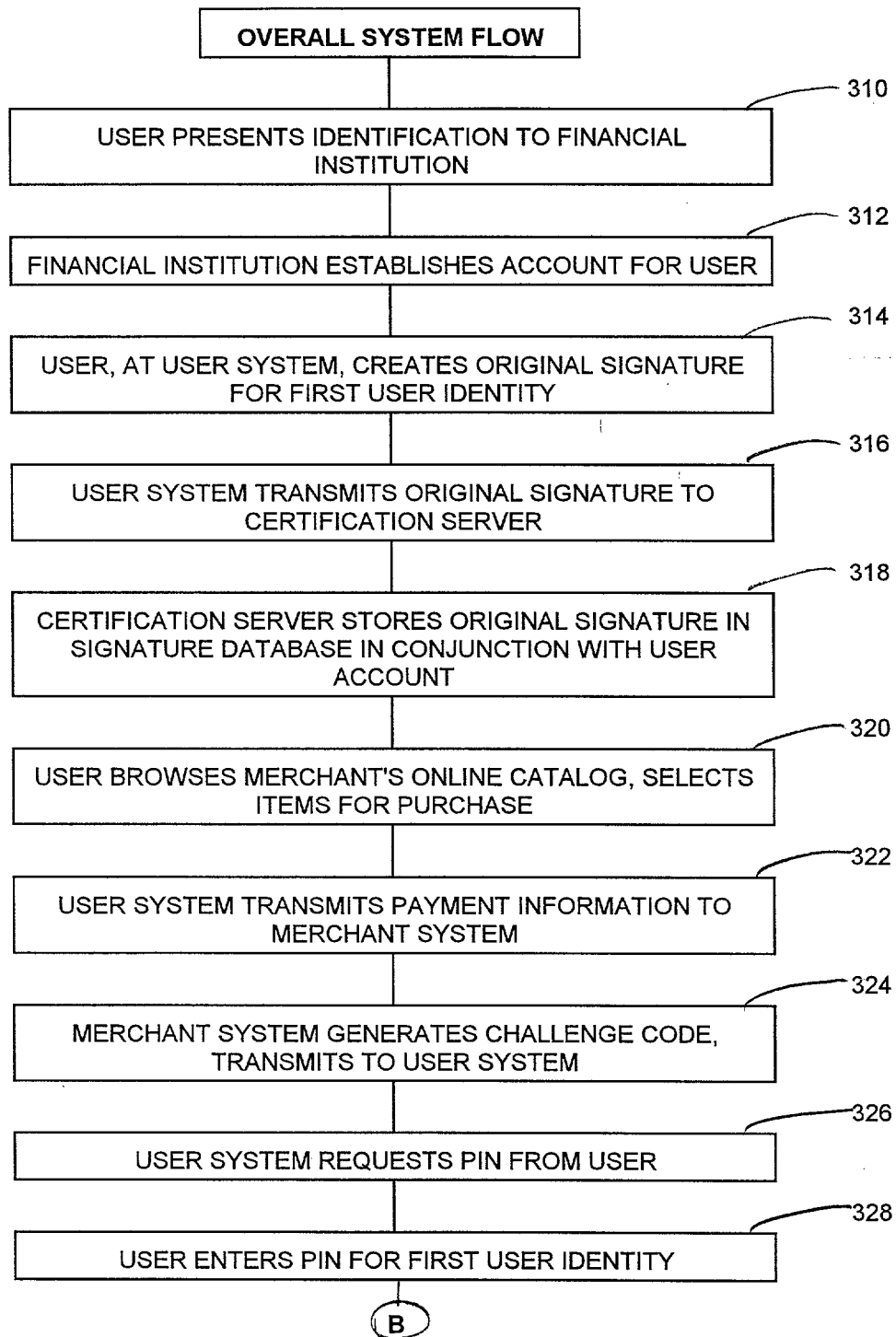


FIG. 3A

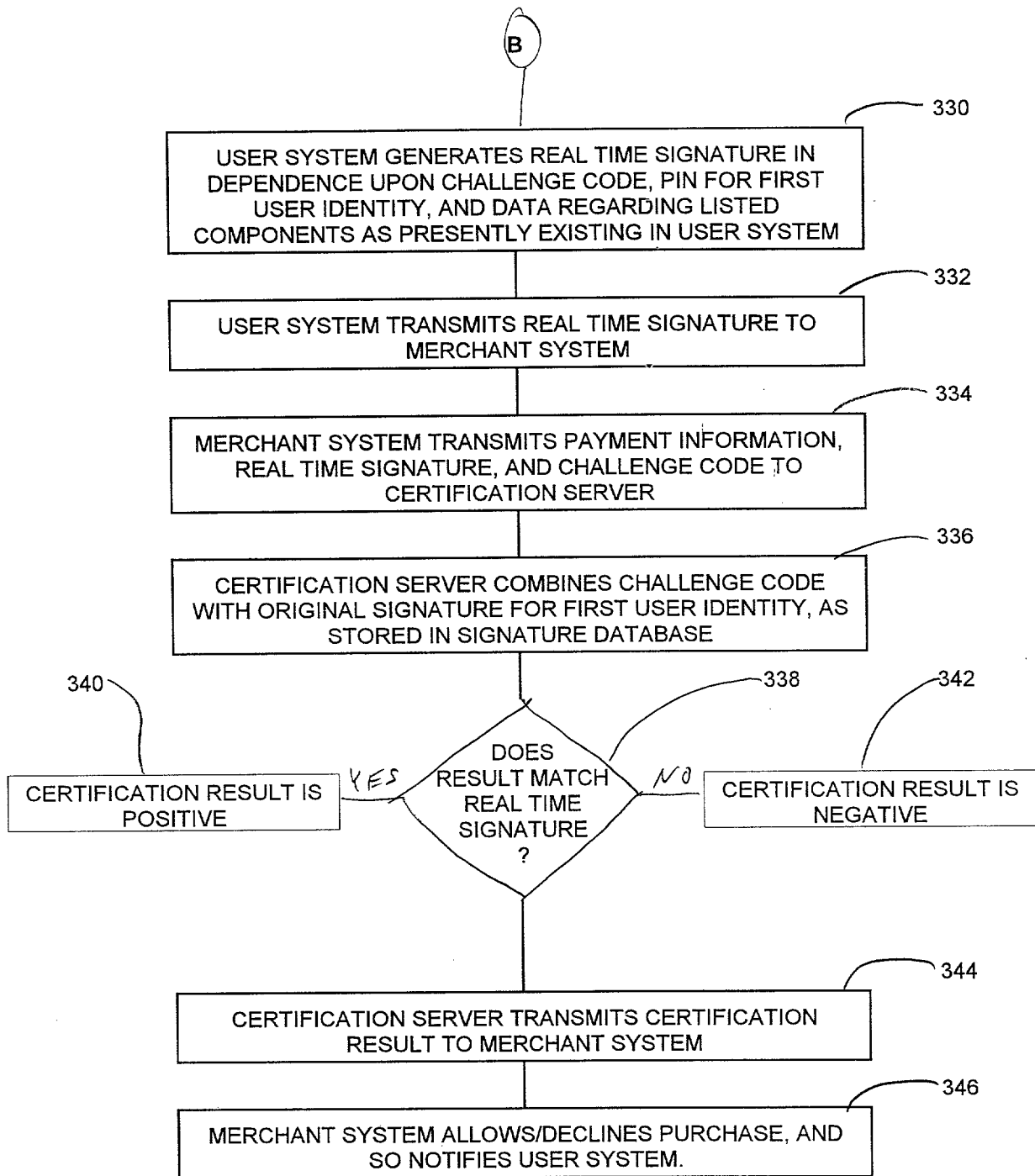


FIG. 3B

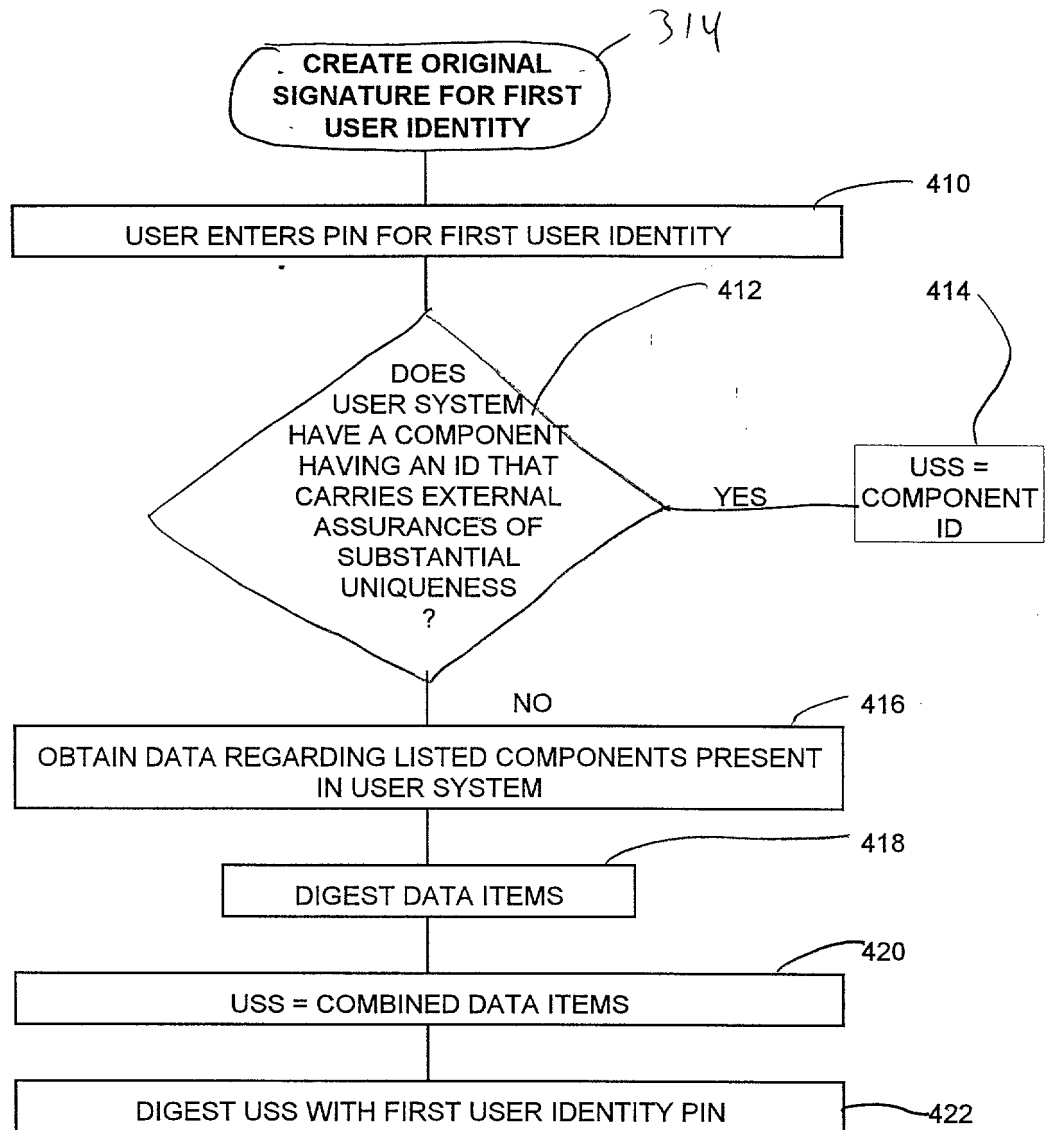


FIG. 4

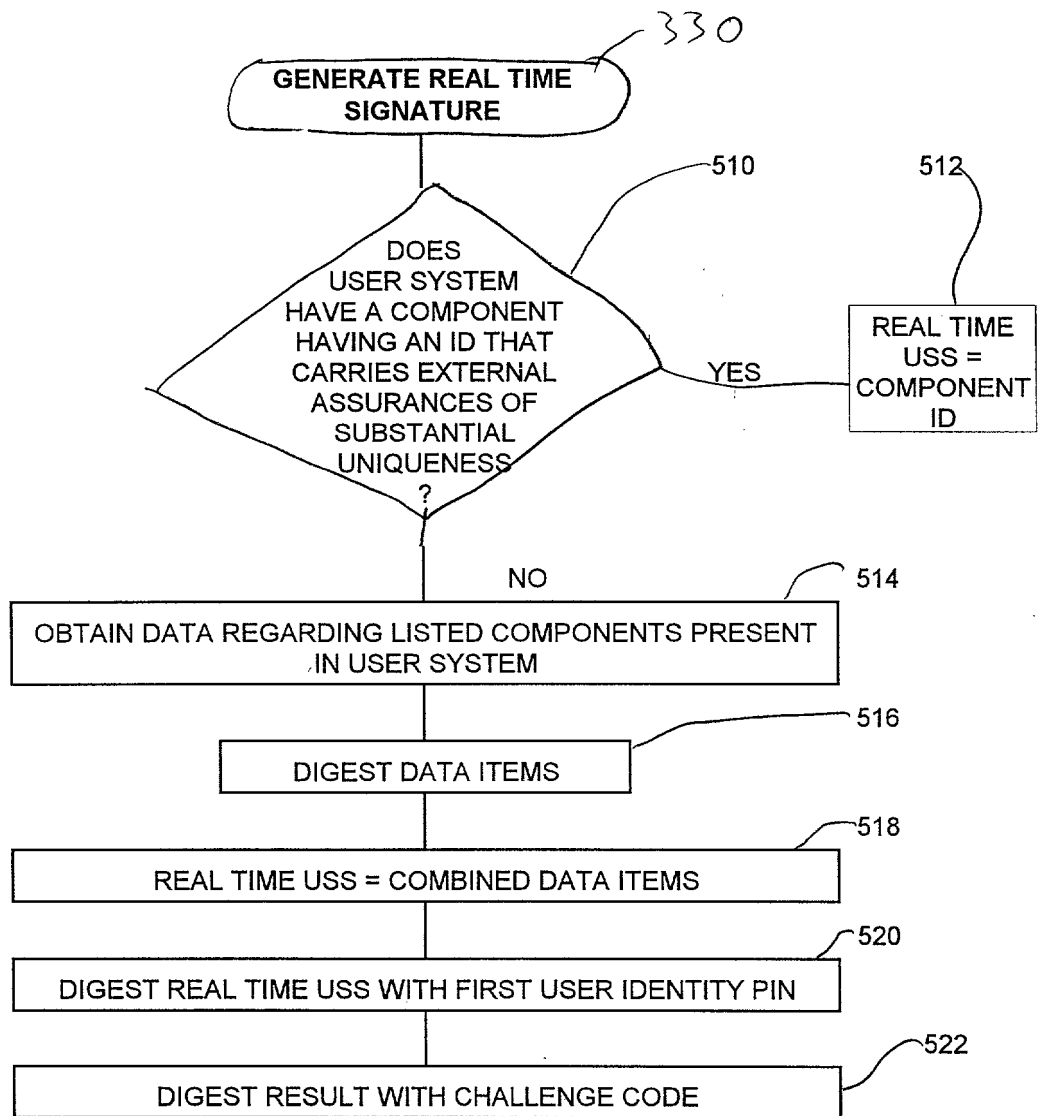


FIG. 5

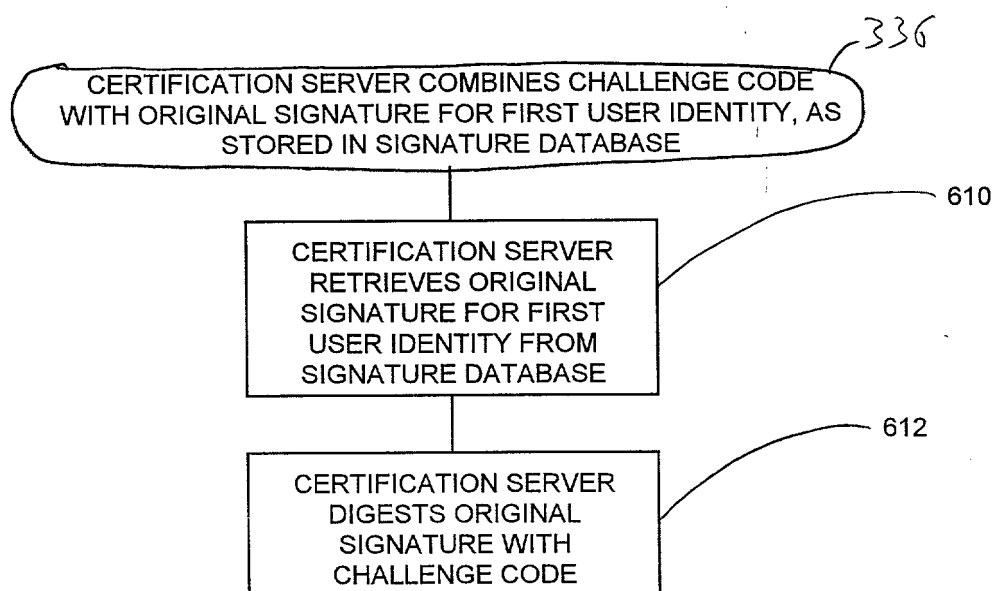


FIG. 6

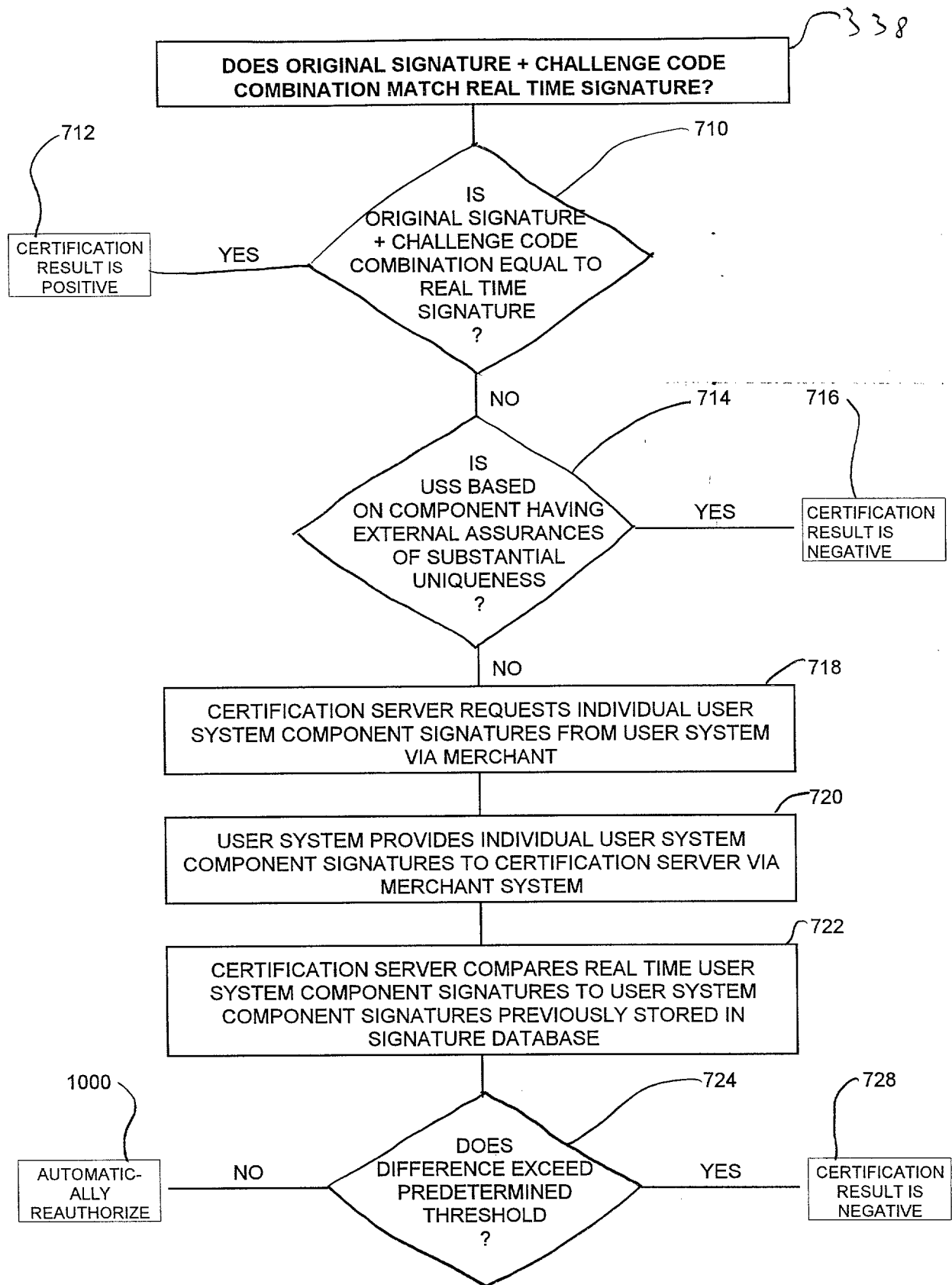


FIG. 7

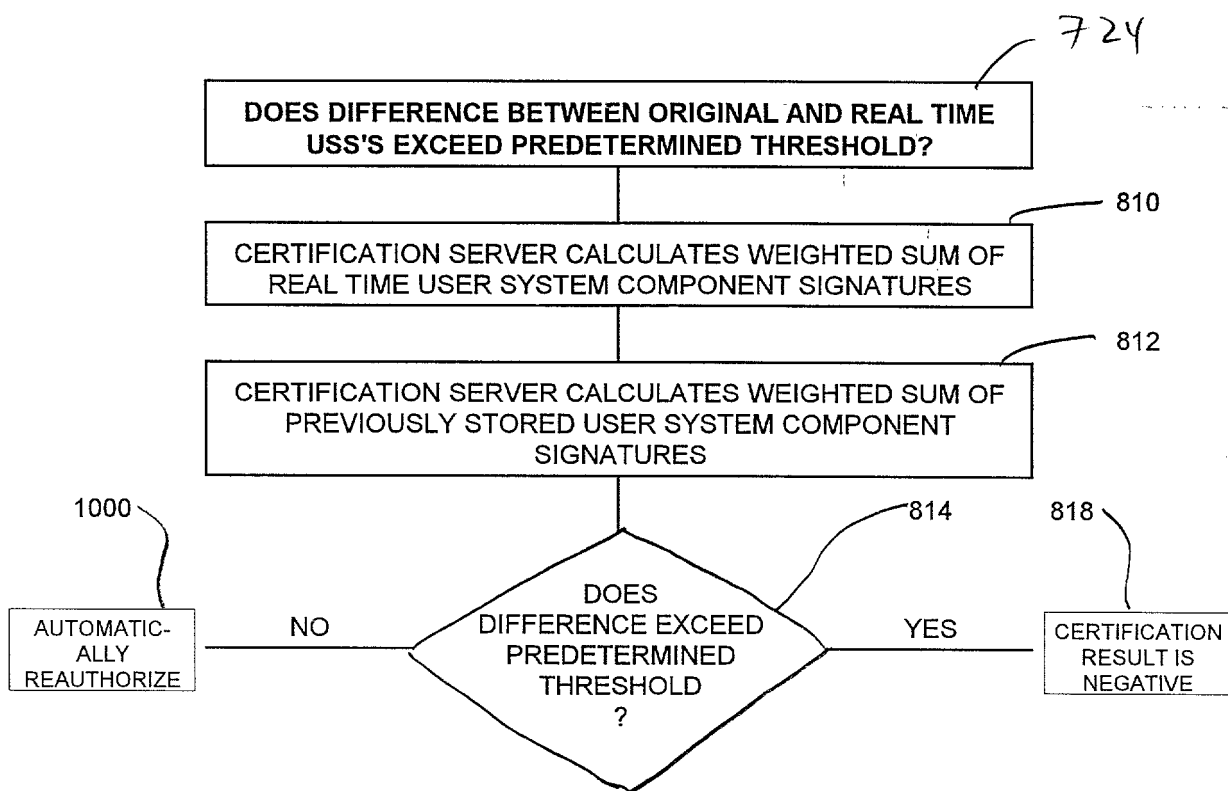


FIG. 8

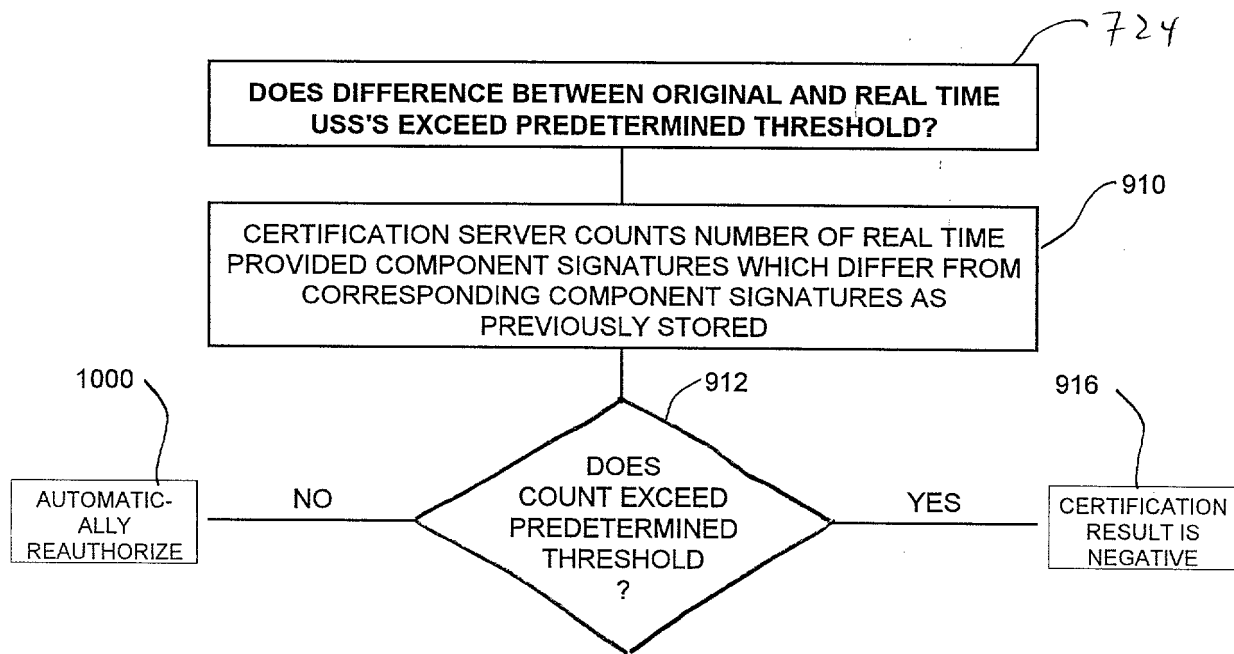


FIG. 9

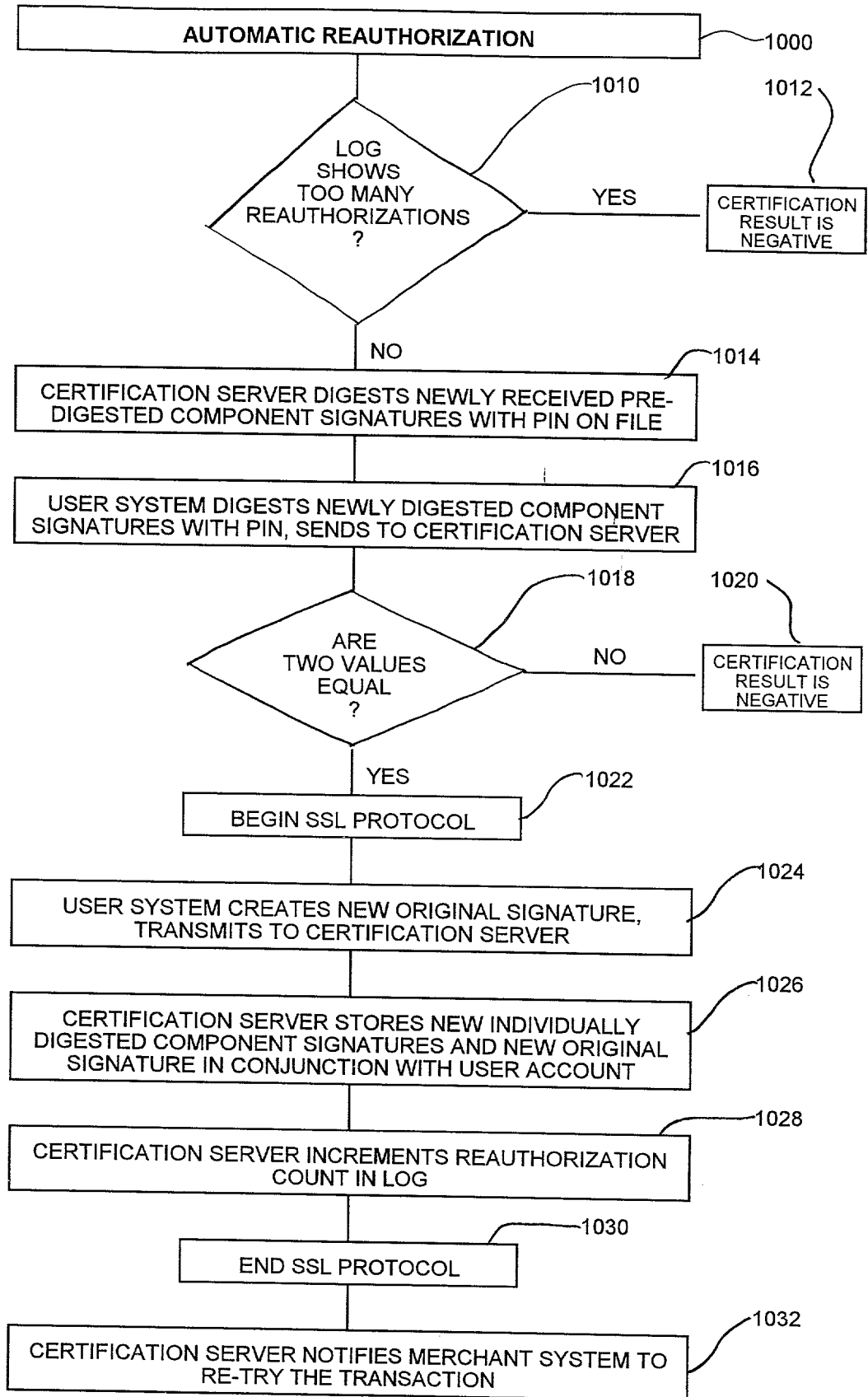


FIG. 10

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application) <u>PATENT APPLICATION</u>
)
Inventor(s): John H. LeBourgeois) Art Unit:
)
SC/Serial No.: Unknown) Examiner:
)
Filed: Herewith)
)
Title: DIGITAL CERTIFICATION TECHNIQUE)
)

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name; I believe that I am the original, first and sole inventor (if one name is listed below), first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

DIGITAL CERTIFICATION TECHNIQUE

the specification of which (check applicable ones):

<u>✓</u>	is filed herewith;
<u> </u>	was filed with the above-identified "Filed" date and "SC/Serial No."
<u> </u>	was amended on (or amended through) <u> </u> .

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above. I acknowledge the duty to disclose information which is material to the examination of the application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

(1) Full name of sole
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(1) Post Office Address: (Same)

(1) Citizenship: U.S.A.

(1) Inventor's signature: X 

(1) Date: X 10/15/97

(2) Full name of second
joint inventor: _____

(2) Residence: _____

(2) Post Office Address: _____

(2) Citizenship: _____

(2) Inventor's signature: _____

(2) Date: _____

2007-04-24 10:00 AM

Title 37, Code of Federal Regulations, §1.56

**SECTION 1.56. DUTY TO DISCLOSE INFORMATION
MATERIAL TO PATENTABILITY**

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§1.97(b)-(d) and 1.98.* However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

- (1) prior art cited in search reports of a foreign patent office in a counterpart application, and
- (2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office; or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) Each inventor named in the application;

(2) Each attorney or agent who prepares or prosecutes the application; and

(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

* §§1.97(b)-(d) and 1.98 relate to the timing and manner in which information is to be submitted to the Office.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application) PATENT APPLICATION
Inventor(s): John H. LeBourgeois)
SC/Serial No.: Unknown)
Filed: Herewith)
Title: DIGITAL CERTIFICATION TECHNIQUE)

POWER OF ATTORNEY BY ASSIGNEE UNDER 37 C.F.R. §§3.71, 3.73

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

The below-identified Assignee hereby appoints WARREN S. WOLFELD, REG. NO. 31,454, and other attorneys of FLIESLER, DUBB, MEYER & LOVEJOY LLP, to prosecute this application and transact all business in the United States Patent and Trademark Office connected therewith; said appointment to be to the exclusion of the inventor(s) and the inventor's(s') attorney(s) in accordance with the provisions of 37 C.F.R. §3.71.

Pursuant to 37 C.F.R. §3.73(b), the undersigned certifies that Assignee is the owner of the entire right, title and interest in the above-identified patent application by virtue of an assignment from the inventor(s) to Assignee and that,

- ___ the assignment was recorded in the United States Patent and Trademark Office at Reel ___, Frames ___ - ___, or
- ☒ a true copy of the assignment is attached hereto, the original of which has been (or is herewith) forwarded to the United States Patent and Trademark Office for recording.

The assignment has been reviewed and to the best of the undersigned's knowledge and belief, title to the above-identified patent application is in the Assignee. The undersigned (whose title is supplied below) is empowered to sign this certification on behalf of the Assignee.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Please address all correspondence to:
Warren S. Wolfeld
FLIESLER, DUBB, MEYER & LOVEJOY LLP
Four Embarcadero Center, Suite 400
San Francisco, CA 94111-4156

Please direct all telephone calls to:
Warren S. Wolfeld
(415) 362-3800

Assignee: Cryptoworks

Assignee Type: (Corporation, Partnership, ...) Corporation

Signor's Name: John H. LeBourgeois

Signor's Title: (Corporate Office or Position) President

Signature:  Date: X 10/15/97

SOLE TO CORPORATE ASSIGNMENT

WHEREAS, the undersigned, John H. LeBourgeois, a resident of 193 San Carlos Way, Novato, CA 94945, (hereinafter termed "Inventor"), has invented certain new and useful improvements in:

DIGITAL CERTIFICATION TECHNIQUE

and has executed a declaration or oath for an application for a United States patent disclosing and identifying the invention:

✓ On the X 10 day of X October, 1997;

WHEREAS Cryptoworks (hereinafter termed "Assignee"), a corporation of the State of Delaware, having a place of business at San Francisco, State of California, wishes to acquire the entire right, title and interest in and to said application and the invention disclosed therein, and in and to all embodiments of the invention, heretofore conceived, made or discovered by said Inventor (all collectively hereinafter termed "said invention"), and in and to any and all patents, certificates of invention and other forms of protection thereon (hereinafter termed "patents") applied for or granted in the United States and/or other countries.

NOW THEREFORE, for good and valuable consideration acknowledged by said Inventor to have been received in full from said Assignee:

1. Said Inventor does hereby sell, assign, transfer and convey unto said Assignee, the entire right, title and interest (a) in and to said application and said invention; (b) in and to all rights to apply in any and all countries of the world for patents, certificates of inventions or other governmental grants on said invention, including the right to apply for patents pursuant to the International Convention for the Protection of Industrial Property or pursuant to any other convention, treaty, agreement or understanding; (c) in and to any and all applications filed and any and all patents, certificates of inventions or other governmental grants granted on said invention in the United States or any other country, including each and every application filed and each and every patent granted on any application which is a division, substitution, or continuation of any of said applications; (d) in and to each and every reissue or extension of any of said patents; and (e) in and to each and every patent claim resulting from a reexamination certificate for any and all of said patents.

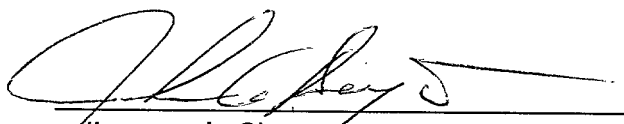
2. Said Inventor hereby covenants and agrees to cooperate with said Assignee to enable said Assignee to enjoy to the fullest extent the right, title and interest herein conveyed in the United States and other countries. Such cooperation by said Inventor shall include prompt production of pertinent facts and documents, giving of testimony, executing of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said Assignee (a) for perfecting in said Assignee the right, title and interest herein conveyed; (b) for complying with any duty of disclosure; (c) for prosecuting any of said applications; (d) for filing and prosecuting substitute, divisional, continuing or additional applications covering said invention; (e) for filing and prosecuting applications for reissue of any of said patents; (f) for interference or other priority proceedings involving said invention; and (g) for legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation opposition proceedings, cancellation proceedings, priority contests,

public use proceedings, reexamination proceedings, compulsory licensing proceedings, infringement actions and court actions; provided, however, that the expense incurred by said Inventor in providing such cooperation shall be paid for by said Assignee.

3. The terms and covenants of this Assignment shall inure to the benefit of said Assignee, its successors, assigns and other legal representatives, and shall be binding upon said Inventor, said Inventor's heirs, legal representatives and assigns.

4. Said Inventor hereby warrants and represents that said Inventor has not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

IN WITNESS WHEREOF, the said Inventor has executed and delivered this instrument to said Assignee on the date of acknowledgement before the Notary Public as given below.


(Inventor's Signature)

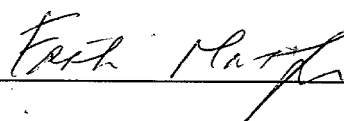
State of CALIFORNIA

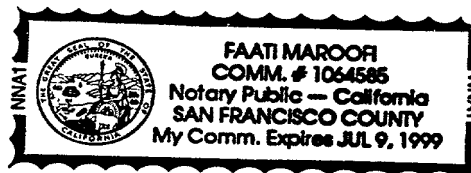
County of MARIN

On 10-17-1997 before me, FAATI MAROOFI,
(name and title of officer)

personally appeared John H. LeBourgeois, ~~personally known to me~~ (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/~~are~~ subscribed to the within instrument and acknowledged to me that he/~~she/they~~ executed the same in his/~~her/their~~ authorized capacity(ies), and that by his/~~her/their~~ signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Signature 



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application)	<u>PATENT APPLICATION</u>
)	
Inventor(s): John H. LeBourgeois)	Art Unit:
)	
SC/Serial No.: Unknown)	Examiner:
)	
Filed: Herewith)	
)	
Title: DIGITAL CERTIFICATION TECHNIQUE)	
_____)

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
37 C.F.R. §1.9(f) AND §1.27(b) - INDEPENDENT INVENTOR

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 C.F.R. §1.9(c) for purposes of paying reduced fees under §41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention identified by the above TITLE and INVENTOR(S), and described in:

☒ the Specification filed herewith
☐ the Application having the above SC/Serial No. and Filed date
☐ Patent No. _____ issued _____

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 C.F.R. §1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 C.F.R. §1.9(d) or a nonprofit organization under 37 C.F.R. §1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

☐ No such person, concern, or organization.
☐ Persons, concerns or organizations listed below. *

* Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. §1.27)

NAME: Cryptoworks

ADDRESS: 2084 Union Street, San Francisco, CA 94123

☐ Individual ☒ Small Business Concern ☐ Nonprofit Organization

NAME: _____

ADDRESS: _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 C.F.R. §1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

John H. LeBourgeois
Name of Inventor


Signature of Inventor

Date: X 10/15/97

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Title 37, Code of Federal Regulations, §1.9(c-f)

(c) An **independent inventor** as used in this chapter means any inventor who (1) has not assigned, granted, conveyed, or licensed, and (2) is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who could not likewise be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section.

(d) A **small business concern** as used in this chapter means any business concern as defined by the Small Business Administration in 13 CFR 121.12. For the convenience of the users of these regulations, that definition states:

121.12 Small business for paying reduced patent fees. *(a) Pursuant to Pub. L. 97-247, a small business concern for purposes of paying reduced fees under 35 U.S. Code 41 (a) and (b) to the Patent and Trademark Office means any business concern (1) whose number of employees, including those of its affiliates, does not exceed 500 persons and (2) which has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit*

organization under this section. For the purpose of this section concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both. The number of employees of the business concern is the average over the fiscal year of the persons employed during each of the pay periods of the fiscal year. Employees are those persons employed on a full-time, part-time or temporary basis during the previous fiscal year of the concern.

(e) A **nonprofit organization** as used in this chapter means (1) a university or other institution of higher education located in any country; (2) an organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c)(3)) and exempt from taxation under section 501(a) of the Internal Revenue Code (26 U.S.C. 501(a)); (3) any nonprofit scientific or educational organization qualified under a nonprofit organization statute of a state of this country (35 U.S.C. 201(i)); or (4) any nonprofit organization located in a foreign country which would qualify as a nonprofit organization under paragraphs (e) (2) or (3) of this section if it were located in this country.

(f) A **small entity** as used in this chapter means an **independent inventor**, a **small business concern** or a **nonprofit organization**.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application)	<u>PATENT APPLICATION</u>
)	
Inventor(s): John H. LeBourgeois)	Art Unit:
)	
SC/Serial No.: Unknown)	Examiner:
)	
Filed: Herewith)	
)	
Title: DIGITAL CERTIFICATION TECHNIQUE)	
)	

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
37 C.F.R §1.9(f) AND §1.27(c) - SMALL BUSINESS CONCERN

I hereby declare that I am:

- ___ The owner of the small business concern identified below.
- ☒ An official of the small business concern empowered to act on behalf of the concern identified below.

Name: Cryptoworks

Address: 2084 Union Street, San Francisco, CA 94123

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 C.F.R. §121.12, and reproduced in 37 C.F.R. §1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35 U.S.C. in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified below with regard to the invention identified by the above TITLE and INVENTOR(S), and described in:

- ☒ the Specification filed herewith
- ___ the Application having the above SC/Serial No. and Filed date
- ___ Patent No. _____ issued _____

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If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. §1.9(c) or by any concern which would not qualify as a small business concern under 37 C.F.R. §1.9(d) or a nonprofit organization under 37 C.F.R. §1.9(e).

NAME: _____

ADDRESS: _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

NAME: _____

ADDRESS: _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 C.F.R. §1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: John H. LeBourgeois

Title of Person Signing: President

Address of Person Signing: Cryptoworks, 2084 Union Street, San Francisco, CA 94123

Signature: X 

Date: X 10/15/97

*
Note: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. §1.27).

Title 37, Code of Federal Regulations, §1.9(c-f)

(c) An **independent inventor** as used in this chapter means any inventor who (1) has not assigned, granted, conveyed, or licensed, and (2) is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who could not likewise be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section.

(d) A **small business concern** as used in this chapter means any business concern as defined by the Small Business Administration in 13 CFR 121.12. For the convenience of the users of these regulations, that definition states:

121.12 Small business for paying reduced patent fees. (a) Pursuant to Pub. L. 97-247, a small business concern for purposes of paying reduced fees under 35 U.S. Code 41 (a) and (b) to the Patent and Trademark Office means any business concern (1) whose number of employees, including those of its affiliates, does not exceed 500 persons and (2) which has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit

organization under this section. For the purpose of this section concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both. The number of employees of the business concern is the average over the fiscal year of the persons employed during each of the pay periods of the fiscal year. Employees are those persons employed on a full-time, part-time or temporary basis during the previous fiscal year of the concern.

(e) A **nonprofit organization** as used in this chapter means (1) a university or other institution of higher education located in any country; (2) an organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c)(3)) and exempt from taxation under section 501(a) of the Internal Revenue Code (26 U.S.C. 501(a)); (3) any nonprofit scientific or educational organization qualified under a nonprofit organization statute of a state of this country (35 U.S.C. 201(i)); or (4) any nonprofit organization located in a foreign country which would qualify as a nonprofit organization under paragraphs (e) (2) or (3) of this section if it were located in this country.

(f) A **small entity** as used in this chapter means an **independent inventor**, a **small business concern** or a **nonprofit organization**.
